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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/040,206	01/02/2002	Vishwanath R. Lingappa	UCSF.002.01US

Barbara Rae-Venter, Ph.D.
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PO Box 1898
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CONFIRMATION NO. 1150

FORMALITIES LETTER



OC000000008610611

Date Mailed: 08/12/2002

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d). Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
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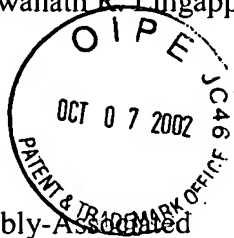
PART 2 - COPY TO BE RETURNED WITH RESPONSE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Vishwanath R. Lingappa *et al.*

Serial No.: 10/040,206

Filed: January 2, 2002

Title: HIV Capsid Assembly-Associated
Compositions and Methods

) Examiner: Not Yet Assigned

) Art Unit: Not Yet Assigned

) RESPONSE TO NOTICE TO
) COMPLY WITH REQUIREMENTS
) FOR PATENT APPLICATIONS
) CONTAINING NUCLEOTIDE
) SEQUENCES AND/OR AMINO ACID
) SEQUENCES DISCLOSURES

BOX SEQUENCE

United States Patent and Trademark Office
PO Box 2327
Arlington, VA 22202

Sir:

In response to the Notice to Comply with Requirements for Patent Applications Containing Nucleotide and/or Amino Acid Sequences Disclosures mailed August 12, 2002 Applicants have attached hereto (a) a copy of the sequence listing in computer readable format, (b) a sequence listing statement under 37 CFR §§ 1.821-1.825, and (c) a preliminary amendment under 37 C.F.R. §1.825 including a paper copy of the sequence listing.

Respectfully submitted,

Dated: October 1, 2002Mircea Achiriloaie
Mircea Achiriloaie, Ph.D.
Reg. No. 48,880Rae-Venter Law Group, P.C.
P.O. Box 1898
Monterey, CA 93942-1898
Phone: (831) 648-3090
Facsimile: (831) 242-0137CERTIFICATE OF FIRST CLASS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to BOX SEQUENCE, United States Patent and Trademark Office, PO Box 2327, Arlington, VA 22202:

(Date)

(Signature)

(Printed Name)

October 1 2002K PatchonKaren Patchon

PATENT



ATTORNEY DOCKET NO. UCSF.002.01US

COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Vishwanath R. Lingappa *et al.*) Examiner: Not Yet Assigned
Serial No.: 10/040,206) Art Unit: Not Yet Assigned
Filed: January 2, 2002) TRANSMITTAL
Title: HIV Capsid Assembly-Associated) RESPONSE TO NOTICE TO
Compositions and Methods) COMPLY WITH REQUIREMENTS
) FOR PATENT APPLICATIONS
) CONTAINING NUCLEOTIDE
) SEQUENCES AND/OR AMINO ACID
) SEQUENCES DISCLOSURES

BOX SEQUENCE

United States Patent and Trademark Office
PO Box 2327
Arlington, VA 22202

Sir:

Transmitted along with the Response to Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequences and/or Amino Acid Disclosures herewith are:

- [X] A Sequence Listing and Statement under 37 CFR §§ 1.821-1.825.
- [X] A Sequence listing:
 - [X] Computer readable format: 3.5" diskette containing file "seqlist.txt".
- [X] Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequences and/or Amino Acid Sequences Disclosures Part 2 mailed August 12, 2002.

CERTIFICATE OF FIRST CLASS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to BOX SEQUENCE, United States Patent and Trademark Office, PO Box 2327, Arlington, VA 22202:

(Date)

(Signature)

(Printed Name)

October 12, 2002
K. Patheon
Karon Patheon


- ☒ Return receipt postcard.
- ☒ Preliminary Amendment under 37 CFR § 1.825. with substitute pages 50-56 of the application attached.

Total Fees: **\$0**

- ☐ A check including the amount of the above-indicated TOTAL FEES is attached.
- ☐ Please charge Deposit Account No. 18-0020 in the amount of \$.
- ☒ No fee is required.
- ☒ Conditional Petition for Extension of Time: An extension of time is requested in the present and/or the above-referenced parent application to provide for timely filing if an extension of time is still required after all papers filed with this transmittal have been considered.
- ☒ The Commissioner is hereby authorized to charge any underpayment of the following fees associated with this communication, including any necessary fees for extension of time, or credit any overpayment to Deposit Account No. 18-0020.
- ☐ Any filing fees under 37 CFR 1.16 including fees for the presentation of extra claims.
- ☐ Any parent application processing fees under 37 CFR 1.17.
- ☒ A **duplicate** copy of this sheet is attached for accounting purposes.

Respectfully submitted,

Dated: October 1, 2002



Mircea Achiriloaie, Ph.D.
Reg. No. 48,880

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The following has been received in the U.S. Patent Office on the date stamped hereon:

<input type="checkbox"/> Patent Application, ____ pps. specification, ____ pps claims, ____ pps abstract	<input type="checkbox"/> Executed/unexecuted Declaration/POA
<input type="checkbox"/> Drawings: ____ sheets of informal / formal	<input type="checkbox"/> Assignment
<input type="checkbox"/> Application Transmittal	<input type="checkbox"/> Verified Small Entity Statement
<input checked="" type="checkbox"/> Return receipt postcard	<input type="checkbox"/> Rule 132 Declaration
<input checked="" type="checkbox"/> Response/Amendment <i>to Notice to Comply</i>	<input type="checkbox"/> 312 Amendment after Allowance
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<input type="checkbox"/> Notice of Appeal	<input type="checkbox"/> Information Disclosure Statement
<input type="checkbox"/> Appeal Brief(3 copies) ____ pages	<input type="checkbox"/> Petition for Extension of Time
<input checked="" type="checkbox"/> PTO Box# <u>SEQUENCE LISTING</u>	<input type="checkbox"/> Certificate of Correction
<input type="checkbox"/> Express Mail Label	<input type="checkbox"/> IDS Transmittal, IDS Statement
<input checked="" type="checkbox"/> Other <i>Duplicate copy of transmittal</i>	PTO-1449 [No. of References ____]
<i>for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures, Sequence Listing, Preliminary Amendment under 37 CFR 1.825 with pgs 60-57</i>	
Serial No.: <u>10/040,206</u>	<input type="checkbox"/> Status Inquiry
Attorney/Secretary: <u>MA</u>	<input type="checkbox"/> Check No. ____ in amount of \$ ____
Mailing Date: <u>October 1, 2000</u>	